

**Alabama Department of Early Childhood Education
(formerly the Department of Children's Affairs)**



**Functional Analysis
&
Records Disposition Authority**

**Presented to the
State Records Commission
April 26, 2006**

Table of Contents

Functional and Organizational Analysis of the Alabama Department of Children’s Affairs	3
Sources of Information.....	3
Historical Context	3
Agency Organization	3
Agency Function and Subfunctions	3
Analysis of Record Keeping System and Records Appraisal of the Alabama Department of Children’s Affairs	7
Agency Record Keeping System	7
Records Appraisal	7
Permanent Records List	11
Alabama Department of Children’s Affairs Records Disposition Authority	12
Explanation of Records Requirements.....	12
Records Disposition Requirements	13
Coordinating Activities of State and County Children’s Policy Councils.....	13
Managing the Children First Trust Fund.....	14
Administering the Voluntary Pre-Kindergarten Program	14
Coordinating the Alabama Head Start-State Collaboration Project.....	15
Maintaining Children’s Service Database.....	15
Administering Internal Operations: Managing the Agency	15
Administering Internal Operations: Managing Finances	16
Administering Internal Operations: Managing Human Resources	17
Administering Internal Operations: Managing Properties, Facilities, and Resources	19
Requirement and Recommendations for Implementing the Records Disposition Authority (RDA)	20

Functional and Organizational Analysis of the Alabama Department of Children's Affairs

Sources of Information

- Representatives of the Alabama Department of Children's Affairs
- Code of Alabama 1975 § 26-24-1 through § 26-24-26 (Alabama Department of Children's Affairs)
- Code of Alabama 1975 § 12-15-130 through § 12-15-135 (Alabama Children's Policy Council)
- Code of Alabama, 1975 § 41-20-3 (Sunset Law)
- Code of Alabama 1975 § 41-22-1 through 41-22-27 (Administrative Procedures Act)
- Alabama Government Manual (2002), p. 123
- Alabama Department of Children's Affairs Website
- Alabama Department of Children's Affairs Audit Report (2001-2003)
- Alabama Department of Children's Affairs Publications

Historical Context

The Alabama Department of Children's Affairs was created by Legislative Act No. 99-439 in 1999. In the same year, the Legislature also revised a 1975 law by changing the name of the Alabama Juvenile Justice Coordinating Council to the Alabama Children's Policy Council with the newly created commissioner of Children's Affairs as the chairman. The Alabama Children's Policy Council works closely with County Children's Policy Councils, formerly County Juvenile Justice Coordinating Councils, located in each county across the state. Legislative Act No. 2000-613 created the Office of School Readiness within the Alabama Department of Children's Affairs.

Agency Organization

The Alabama Department of Children's Affairs operates under the direction, supervision, and control of the commissioner of Children's Affairs, who is appointed by and holds office at the pleasure of the governor. The director of the Office of School Readiness is also appointed by and serves at the pleasure of the governor. The department is currently composed of the following program/office units: Office of School Readiness, Alabama Head Start-State Collaboration Office, Children's Policy Council, Children First Trust Fund, and Administrative Support. An organizational chart is included.

Agency Function and Subfunctions

The mandated function for the Alabama Department of Children's Affairs is to advise the governor and the Legislature in matters relating to children, serve as a liaison between the governor and various state agencies providing services for children, and create a network of

local/community groups dedicated to children. The department is one of the agencies primarily involved in carrying out the Public Advocacy function of Alabama government.

In the performance of its mandated function, the agency may engage in the following subfunctions:

- **Coordinating Activities of State and County Children's Policy Councils.**

The Code of Alabama 1975 § 12-15-130 authorizes the creation of the Alabama Children's Policy Council, formerly known as the Alabama Juvenile Justice Coordinating Council. The council consists of 38 members appointed by the governor, lieutenant governor, leaders of the Legislature; heads of children service-related state agencies; members of the judicial branch; and other representatives selected by the council. The commissioner of the Alabama Department of Children's Affairs serves as the council's chairman, with the chief justice as the vice chair. In addition, the Code of Alabama 1975 § 12-15-133 created in each county of the state a County Children's Policy Council, chaired by local senior juvenile court judge and fifteen mandated members plus seven members at-large. The legislative mandate of the county councils is to meet at least quarterly, set policy and procedures for children's services, identify gaps, encourage agency collaboration to avoid duplication, conduct annual needs assessments, and maintain/update a local resource guide for children's services. On behalf of the State Children's Policy Council, staff members of the Alabama Department of Children's Affairs manage and provide oversight for county councils by conducting training sessions/workshops, sponsoring state conferences, drafting legislation for consideration by the governor and the Legislature, applying for federal funding, analyzing annual needs assessment reports submitted by counties, publishing an annual state needs assessment, and maintaining a line of communication between the state and local communities across the state.

- **Managing the Children First Trust Fund.** The Children First Trust Fund was initiated in the mid-1990s by a group of advocates and legislators to improve the lives of children in Alabama. Efforts were first focused on increasing cigarette taxes to fund a wide array of needed programs and services. During the same period, negotiations were being conducted between tobacco companies and the majority of the states to settle lawsuits stemming from the health costs of smoking. At the end of in 1998, an agreement between these states and big tobacco companies was reached, and settlement funds began to come the states in late 2000. The Alabama Legislature set up the 21st Century Fund to receive the settlement and distribute funds to pay for economic development bonds, medical care, and programs for the elderly, but the majority of the settlement went to the Children First Trust Fund.

Once money is deposited to the Children First Trust Fund, the fund then is divided among 12 state agencies for specific programs, as mandated by the Code of Alabama 1975 § 41-15B-2.2. Beginning in 2004, all of the 12 agencies must have in place annual plans of investment, approved by the commissioner of the Alabama Department of Children's Affairs before they are allowed to spend the money appropriated to them. Activities of this subfunction involve the review and approval of plans of investment prepared by the

agencies, monitoring of expenses, and compilation of required monthly and annual reports for the fund.

- **Administering the Voluntary Pre-Kindergarten Program.** Legislative Act 2000-613, codified as § 26-24-20 of the Code of Alabama 1975, created the Office of School Readiness (hereafter referred to as OSR) within the Alabama Department of Children's Affairs. The major goal of OSR is to "establish criteria and administer such programs and services as may be necessary for the operation and management of a voluntary pre-kindergarten program." Program activities of the office are designed to (1) fund programs that provide quality preschool experiences to four-year-old children in Alabama that prepare them for school; (2) provide quality training to pre-kindergarten teachers and administrators that help them better meet the needs of the four-year-old children; and (3) increase local and state-wide collaboration among early care providers, advocates, and parents.
- **Coordinating the Alabama Head Start-State Collaboration Project.** Authorized under the federal Economic Opportunity Act of 1964, Head Start is a comprehensive child development program serving low-income preschool children and their families. The 1994 Head Start Reauthorization Act established the Early Head Start program by extending services to low-income pregnant women and families with infants and toddlers. The Head Start program is funded by the U.S. Department of Health and Human Services directly to local non-profit organizations for services in education, health, nutrition, parent involvement, and disability or other social services. The Alabama Head Start State Collaboration Office, currently located within the Alabama Department of Children's Affairs, is funded by the federal government, with matching funds from the state. The office administers grants received from the U. S. Department of Health and Human Services for use in the development of multi-agency and public-private partnerships impacting local Head Start projects. All grant administration and other collaborative activities are focused on the eight designated priority areas: education, family literacy, health, disability services, community services, welfare, homeless, and childcare.
- **Maintaining Children's Service Database.** Mandated by the Code of Alabama 1975 § 26-24-4(c), the agency is charged with developing and maintaining a comprehensive database of services for children offered by both state and local agencies. The agency is currently leading a project that would reconstruct a database that will function as a major resource for state and local agencies in the coordination of services for children. This database could also be utilized by families to gain access to needed services and by the Legislature to track expenditures for children's services.
- **Administering Internal Operations.** A significant portion of the agency's work includes general administrative, financial, and personnel activities performed to support its programmatic areas.

Managing the Agency: Activities include internal office management activities common to most government agencies such as corresponding and communicating;

scheduling; meeting; documenting policy and procedures; reporting; litigating; drafting, promoting, or tracking legislation; publicizing and providing information; managing records; and managing information systems and technology.

Managing Finances: Activities involved in managing finances may include the following: budgeting (preparing and reviewing the budget package, submitting the budget package to the Department of Finance, documenting amendments and performance of the budget); purchasing (requisitioning and purchasing supplies and equipment, receipting and invoicing for goods, and authorizing payment for products received); accounting for the expenditure, encumbrance, disbursement, and reconciliation of funds within the agency's budget through a uniform system of accounting and reporting; authorizing travel; contracting with companies or individuals; bidding for products and services; and assisting in the audit process.

Managing Human Resources: Activities involved in managing human resources may include the following: recruiting and hiring eligible individuals to fill vacant positions within the agency; providing compensation and benefits to employees; supervising employees (evaluating performance, disciplining, granting leave, and monitoring the accumulation of leave); and providing training and continuing education for employees.

Managing Properties, Facilities, and Resources: Activities involved in managing properties, facilities, and resources may include the following: inventorying and accounting for non-consumable property and reporting property information to the appropriate authority; constructing buildings and facilities; leasing and/or renting offices or facilities; providing for security and/or insurance for property; and assigning, inspecting, and maintaining agency property, including vehicles.

Analysis of Record Keeping System and Records Appraisal of the Alabama Department of Children's Affairs

Agency Record Keeping System

The Alabama Department of Children's Affairs operates a hybrid system composed of a computer system and a paper record-keeping system. The agency's server, located at the Information Services Division, Department of Finance, has several folders that are set up for its staff to use. Staff members also utilize several databases to manage their specific programs, such as the Pre- Kindergarten Program, Children's Policy Councils, and the Children First Trust Fund.

Records Appraisal

The following is a discussion of the two major categories of records created and/or maintained by the Alabama Department of Children's Affairs: Temporary Records and Permanent Records.

I. Temporary Records. Temporary records should be held for what is considered to be their active life and disposed of once all fiscal, legal and administrative requirements have been met.

- **Annual Reports of County Children's Policy Councils.** This series consists of duplicate copies of quarterly meeting agendas, minutes, and other supporting documents (such as county children's policy council membership listings) sent by each of the state's 67 county children's policy councils to the agency for reference. Since all important information on county children's policy councils, such as annual needs assessment, is scheduled for permanent retention, these records should only be retained for reference for 3 years.

II. Permanent Records. The Government Records Division recommends the following records as permanent.

Coordinating Activities of the State and County Children's Policy Councils

- **Meeting Agendas, Minutes, and Packets of the Alabama Children's Policy Council.** The Code of Alabama 1975 § 12-15-130(b) requires the council to meet at least once annually prior to September 1 of each fiscal year. This series contains information on proposed and executed proceedings of the council. In addition to minutes, this series also includes meeting agendas and other supporting or reference documents. The meeting minutes of the council provide important documentation of the council's actions that may not be found elsewhere. **(Bibliographic Title: Meeting Agendas, Minutes, and Packets of the Alabama Children's Policy Council)**
- **Annual Needs Assessments Compiled by the Alabama Children's Policy Council.** In accordance with the Code of Alabama 1975 § 12-15-134, all county children's policy councils must review the needs of children in their respective counties and submit annual

needs assessment reports to the Alabama Children's Policy Council for compilation and reference by the governor, the Legislature, and child service-related state agencies for budget planning and appropriation. This series consists of file copies of the Annual Needs Assessments compiled by the staff of the Alabama Children's Policy Council for distribution to the governor, the Legislature, and other agencies. Each assessment addresses issues, priorities, action steps, program/policy recommendations, and needs assessments of each of the 67 counties. This series should be preserved as key documentation for the state and county children's policy councils. **(Bibliographic Title: Annual Needs Assessments Compiled by the Alabama Children's Policy Council)**

- **Annual Children's Policy Council Conference Announcement Brochures and Handbooks.** This series contains annual conference announcement brochures and handbooks for the Alabama Children's Policy Council and should be preserved as part of the council's documentation. **(Bibliographic Title: State Publications)**

Managing the Children First Trust Fund

- **Children First Trust Fund Annual Reports.** Pursuant to the Code of Alabama 1975 § 41-15B-2(e), the Alabama Department of Children's Affairs is obligated to prepare an annual report each year for the Children First Trust Fund to the governor and the Legislature. The report details the approved plans of investment submitted by the 12 state agencies that are assigned to receive the funds, outcome goals, expense categories, budget amounts, actual expenditures, accomplishments, and statistical data. This series should be preserved as it documents the allocation and distribution of the funds, and the success or failure of each program receiving the funds. **(Bibliographic Title: State Publications)**

Administering the Voluntary Pre-Kindergarten Program

- **Meeting Agendas, Minutes, and Packets of the Advisory Committee for the Office of School Readiness.** The Advisory Committee for the Office of School Readiness (OSR) was created to assist the staff of OSR in accomplishing its mandates and responsibilities. The committee is composed of about 25 to 30 members selected from public/private childcare programs, health care agencies, state agencies, childcare management agencies, child advocacy groups, research organizations, public schools, and colleges/universities. Staff members of the Office of School Readiness work in collaboration with local/state agencies and make program performance standards, operation guidelines, or other decisions that are reviewed by the advisory committee for feedback or input. The advisory committee usually meets on a quarterly basis. This series contains meeting agendas, minutes, and other supporting documents of the advisory committee. **(Bibliographic Title: Meeting Agendas, Minutes, and Packets of the Advisory Committee for the Office of School Readiness)**
- **Alabama Office of School Readiness (OSR) Informational and Promotional Publications.** Included in this series are file copies of OSR's annual reports, Alabama Performance Standards for 4-year-olds, Operating Guidelines for Pre-Kindergarten

Programs, program brochures, newsletters, and other related publications. These publications should be maintained as part of OSR's documentation. **(Bibliographic Title: State Publications)**

Coordinating the Alabama Head Start-State Collaboration Project

- **Meeting Agendas, Minutes, and Packets of the Collaboration Leadership Council.** As an important component of the state's Head Start program, the Head Start Collaboration Leadership Council was established to advise office staff about planning and implementation of program initiatives. The council consists of representatives selected from the state's Head Start Association and other community agencies which meet quarterly in an advisory capacity. This series contains council meeting agendas, minutes, and other supporting/reference materials. **(Bibliographic Title: Meeting Agendas, Minutes, and Packets of the Collaboration Leadership Council)**
- **Alabama Head Start State Collaboration Office Five-Year Final Reports and Other Special Grant Project Final Reports.** As required by the federal government, the office staff create a five-year report, in conjunction with the federal grant cycle, to provide a picture of key events/activities relating to the state's Head Start program during the previous 5 years. A typical report contains information on the history and administration of the office, accomplishments and ongoing strategies for service priority areas, legislation impacting children in Alabama, and changes to the program. In addition, this series may include final reports generated for some special one-time only grant projects (i.e. Alabama Professional Development Initiative, etc.). This series provides a cumulative summary of the work of the office and should be preserved permanently. **(Bibliographic Title: Alabama Head Start Reports)**
- **Alabama Head Start Collaboration Project Informational and Promotional Publications.** This series contains various informational and promotional publications issued by the staff of the Alabama Head Start Collaboration Office for distribution to the general public. Publications may include, but are not limited to, Alabama Head Start Program service and contact directory, annual reports, brochures, pamphlets, and newsletters. These publications should be maintained as part of the program's documentation. **(Bibliographic Title: State Publications)**

Administering Internal Operations

- **Website.** The agency has a website at www.dca.state.al.us. Information on the website includes the agency's mission statement, staff and contact directory, description of mandated programs and services, and various publications. The website should be preserved as it serves as an important medium for communication with the public. **(Bibliographic Title: Website)**
- **Inventory Lists.** The Code of Alabama 1975 § 36-16-8[1] requires that "...All [state agency] property managers shall keep at all times in their files a copy of all inventories submitted to the Property Inventory Control Division, and the copies shall be subject to

examination by any and all state auditors or employees of the Department of Examiners of Public Accounts.” These files need to be maintained in the agency’s office.

Permanent Records List

Alabama Department of Children's Affairs

Coordinating Activities of State and County Children's Policy Councils

1. Meeting Agendas, Minutes, and Packets of the Alabama Children's Policy Council
2. Annual Needs Assessments Compiled by the Alabama Children's Policy Council
3. Annual Children's Policy Council Conference Announcement Brochures and Handbooks

Managing the Children First Trust Fund

1. Children First Trust Fund Annual Reports

Administering the Voluntary Pre-kindergarten Program

1. Meeting Agendas, Minutes, and Packets of the Advisory Committee for the Office of School Readiness
2. Alabama Office of School Readiness (OSR) Informational and Promotional Publications

Coordinating the Alabama Head Start-State Collaboration Project

1. Meeting Agendas, Minutes, and Packets of the Collaboration Leadership Council
2. Alabama Head Start State Collaboration Office Five-Year Final Reports and Other Special Grant Project Final Reports
3. Alabama Head Start Collaboration Project Informational and Promotional Publications

Administering Internal Operations

1. Website
2. Inventory Lists*

*indicates records that ADAH anticipates will remain in the care and custody of the creating agency.

ADAH staff members are available to work with agency staff in determining the best location and storage conditions for the long-term care and maintenance of permanent records.

Alabama Department of Children's Affairs Records Disposition Authority

This Records Disposition Authority (RDA) is issued by the State Records Commission under the authority granted by the Code of Alabama 1975 § 41-13-5 and § 41-13-20 through 21. It was compiled by the Government Records Division, Alabama Department of Archives and History (ADAH), which serves as the commission's staff, in cooperation with representatives of the Alabama Department of Children's Affairs. The RDA lists records created and maintained by the Alabama Department of Children's Affairs in carrying out its mandated functions and subfunctions. It establishes retention periods and disposition instructions for those records and provides the legal authority for the Alabama Department of Children's Affairs to implement records destruction.

Alabama law requires public officials to create and maintain records that document the business of their offices. These records must be protected from "mutilation, loss, or destruction," so that they may be transferred to an official's successor in office and made available to members of the public. Records must also be kept in accordance with auditing standards approved by the Examiners of Public Accounts (Code of Alabama 1975 § 36-12-2, § 36-12-4, and § 41-5-23). For assistance in implementing this RDA, or for advice on records disposition or other records management concerns, contact the ADAH Government Records Division at (334) 242-4452.

Explanation of Records Requirements

- This RDA supersedes any previous records disposition schedules governing the retention of the Alabama Department of Children's Affairs' records. Copies of superseded schedules are no longer valid and should be discarded.
- The RDA establishes retention and disposition instructions for records listed below, regardless of the medium on which those records may be kept. Electronic mail, for example, is a communications tool that may record permanent or temporary information. As for records in any other format, the retention periods for e-mail records are governed by the requirements of the subfunctions to which the records belong.
- Some temporary records listed under the Administering Internal Operations subfunction of this RDA represent duplicate copies of records listed for long-term or permanent retention in the RDAs of other agencies.
- Certain other short-term records that do not materially document the work of an agency may be disposed of under this RDA. Such materials include: (1) duplicate record copies that do not require official action, so long as the creating office maintains the original record for the period required; and (2) transitory records, which are temporary records created for internal purposes that may include, but are not limited to, telephone call-back messages; drafts of ordinary documents not needed for their evidential value; copies of material sent for information purposes but not needed by the receiving office for future business; and internal communications about social activities. They may be disposed of

without documentation of destruction. Other items that may be disposed of without destruction documentation include: (1) catalogs, trade journals, and other publications received that require no action and do not document government activities; and (2) stocks of blank stationery, blank forms, or other surplus materials that are not subject to audit and have become obsolete; and (3) honorary materials, plaques, awards, presentations, certificates, and gifts received or maintained by the agency staff.

Records Disposition Requirements

This section of the RDA is arranged by subfunctions of the Alabama Department of Children's Affairs and lists the groups of records created and/or maintained by the agency as a result of activities and transactions performed in carrying out these subfunctions. The agency may submit requests to revise specific records disposition requirements to the State Records Commission for consideration at its regular quarterly meetings.

Coordinating Activities of State and County Children's Policy Councils

MEETING AGENDAS, MINUTES, AND PACKETS OF THE ALABAMA CHILDREN'S POLICY COUNCIL

Disposition: PERMANENT RECORD.

ANNUAL NEEDS ASSESSMENTS COMPILED BY THE ALABAMA CHILDREN'S POLICY COUNCIL

Disposition: PERMANENT RECORD.

Annual Children's Policy Council Conference Files

- a. CONFERENCE ANNOUNCEMENT BROCHURES AND HANDBOOKS
Disposition: PERMANENT RECORD.
- b. Conference Attendee Lists, Evaluations, and Other Related Correspondence
Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Annual Reports of County Children's Policy Councils

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting routine grant activities and compliance with grant program requirements

Disposition: Temporary Record. Retain 5 years after the end of the fiscal year in which the records were created.

State Children's Policy Council Appointment Files

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the term is expired.

Monthly Office Staff Meeting Notes

Disposition: Temporary Record. Retain 3 years.

VISTA (Volunteer In Service To America) Volunteer Service Files

Disposition: Temporary Record. Retain 4 years after the end of the fiscal year in which the records were created.

Managing the Children First Trust Fund**ANNUAL REPORTS FOR THE CHILDREN FIRST TRUST FUND**

Disposition: PERMANENT RECORD

Annual Agency Plans of Investment Review and Approval Files

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Monthly Children First Trust Fund Expenditure Reports to the Legislature

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Administering the Voluntary Pre-Kindergarten Program**MEETING AGENDAS, MINUTES, AND PACKETS OF THE ADVISORY COMMITTEE FOR THE OFFICE OF SCHOOL READINESS**

Disposition: PERMANENT RECORD.

ALABAMA OFFICE OF SCHOOL READINESS (OSR) INFORMATIONAL AND PROMOTIONAL PUBLICATIONS

Disposition: PERMANENT RECORD.

Monthly Office Staff Meeting Notes

Disposition: Temporary Record. Retain 3 years.

Pre-Kindergarten Grant Application Files (completed applications, support letters of recommendations, facility photos, and scoring sheets)

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Pre-Kindergarten Grantee Administrative Files (periodic reports from grantees, inspection reports by OSR staff, correspondence, and other related materials)

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Coordinating the Alabama Head Start-State Collaboration Project

MEETING AGENDAS, MINUTES, AND PACKETS OF THE COLLABORATION LEADERSHIP COUNCIL

Disposition: PERMANENT RECORD.

ALABAMA HEAD START COLLABORATION OFFICE FIVE-YEAR FINAL REPORTS AND OTHER SPECIAL GRANT PROJECT FINAL REPORTS

Disposition: PERMANENT RECORD.

ALABAMA HEAD START COLLABORATION PROJECT INFORMATIONAL AND PROMOTIONAL PUBLICATIONS

Disposition: PERMANENT RECORD.

Federal Grant Project Annual and Five-Year Budget Projections

Disposition: Temporary Record. Retain 5 years after the submission of the five-year final reports.

Grant Project Quarterly and Annual Reports Submitted by the Office to the Federal Government

Disposition: Temporary Record. Retain 5 years after the submission of the five-year final reports.

Alabama Head Start-State Collaboration Project Grantee Administration Files (applications, award notifications, grant financial reports submitted by grantees, and correspondence)

Disposition: Temporary Record. Retain 5 years after the submission of the five-year final reports.

Maintaining Children's Service Database

The agency currently does not create any records under this subfunction.

Administering Internal Operations: Managing the Agency

WEBSITE

Disposition: PERMANENT RECORD. Preserve a complete copy of website annually or as often as significant changes are made.

Printouts of Acknowledgment from the Secretary of State Relating to Notices of Meetings Posted by State Agencies

Disposition: Temporary Record. Retain 3 years.

Routine Correspondence

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.

Mailing/Contact Lists

Disposition: Temporary Record. Retain for useful life.

Administrative Reference Files

Disposition: Temporary Record. Retain for useful life.

Records documenting the implementation of the agency's approved RDA (copies of transmittal forms to Archives or the State Records Center, evidence of obsolete records destroyed, and annual reports to the State Records Commission)

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.

Copy of RDA

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the RDA is superseded.

System Documentation (hardware/software manuals and diskettes, warranties)

Disposition: Temporary Record. Retain documentation of former system 3 years after the end of the fiscal year in which the former hardware and software no longer exists in the agency and all permanent records have been migrated to a new system.

Administering Internal Operations: Managing Finances**Records documenting the preparation of a budget request package and reporting of the status of funds, requesting amendments of allotments, and reporting program performance**

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting the requisitioning and purchasing of supplies and equipment, receipting and invoicing for goods, and authorizing payment for products

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records of original entry or routine accounting transactions, such as journals, registers, and ledgers, and records of funds deposited outside the state treasury, including bank statements, deposit slips, and canceled checks

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting requests for authorization from supervisors to travel on official business and other related materials, such as travel reimbursement forms and itineraries

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting contracts for services or personal property

Disposition: Temporary Record. Retain 6 years after expiration of the contract (Code of Alabama 1975 § 6-2-34).

Agency Audit Reports

Disposition: Temporary Record. Retain 6 years after end of the fiscal year in which the records were created.

Records documenting the bid process, including requests for proposals and unsuccessful responses

- a. Original Bid Records Maintained in the Purchasing Office of the Agency for Contracts over \$7500
Disposition: Temporary Record. Retain 7 years after the end of the fiscal year in which the bids were opened.
- b. Duplicate copies of bid (where originals are maintained by the Finance Department - Division of Purchasing)
Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the bids were opened.

Administering Internal Operations: Managing Human Resources**Records documenting job recruitment**

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Position Classification Files

Disposition: Temporary Record. Retain 3 years after position is reclassified.

Records documenting job description

Disposition: Temporary Record. Retain until superseded.

Certification/Personnel Transaction Files

Disposition: Temporary Record. Retain 6 years after the end of the fiscal year in which the records were created.

Records documenting application for employment

Disposition: Temporary Record. Retain 3 years after request.

Records documenting an employee's work history - generally maintained as a case file

Disposition: Temporary Record. Retain 6 years after separation of employee from the agency.

Records documenting payroll (e.g. pre-payroll report, payroll check registers)

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting payroll deduction authorizations

Disposition: Temporary Record. Retain 6 years after separation of the employee from the agency.

Records documenting payroll deductions for tax purposes

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting employees' daily and weekly work schedules

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting an employee's hours worked, leave earned, and leave taken (including time sheets)

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting sick leave donations

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting final leave status

Disposition: Temporary Record. Retain 6 years after separation of the employee from the agency.

Records documenting verification of accuracy of State Personnel Department records

Disposition: Temporary Record. Retain for useful life.

Records documenting Equal Employment Opportunity (Code of Federal Regulations, Title 29)

a. Compliance Records

Disposition: Temporary Record. Retain 3 years after the close of the program year.

b. Complaint Records

Disposition: Temporary Record. Retain 3 years from the date of resolution of the complaints.

State Employees Injury Compensation Trust Fund Files

Disposition: Temporary Record. Retain 6 years after separation of the employee from the agency.

Worker Compensation Injury and Settlement Reports

Disposition: Temporary Record. Retain 12 years after the end of the fiscal year in which the transaction occurred (Code of Alabama 1975 § 25-5-4).

Employee Flexible Benefits Plan Files (applications and correspondence)

Disposition: Temporary Record. Retain 6 years after termination of participation in program.

Records documenting the State Employee Injury Compensation Trust Fund (SEICTF) Claims

Disposition: Temporary Record. Retain 6 years after separation of the employee from the agency.

Employee Administrative Hearing Files

Disposition: Temporary Record. Retain 6 years after separation of employee from the agency.

Administering Internal Operations: Managing Properties, Facilities, and Resources

INVENTORY LISTS

Disposition: PERMANENT RECORD. Retain in office (Code of Alabama 1975 § 36-16-8[1]).

Letters of Transmittal

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Agency Copies of Transfer of State Property Forms (SD-1)

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.

Property Inventory Cards and/or Computer Files

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Receipts of Responsibility for Property

Disposition: Temporary Record. Retain until return of item to property manager.

Records documenting the use, maintenance, ownership, insurance, and disposition of vehicles owned by the agency

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the vehicle is removed from the property inventory.

Insurance Policies/Risk Management Records

Disposition: Temporary Record. Retain 6 years after termination of policy or membership.

Requirement and Recommendations for Implementing the Records Disposition Authority (RDA)

Under the Code of Alabama 1975 § 41-13-21, “no state officer or agency head shall cause any state record to be destroyed or otherwise disposed of without first obtaining approval of the State Records Commission.” This Records Disposition Authority constitutes authorization by the State Records Commission for the disposition of the records of the Alabama Department of Children’s Affairs (hereafter referred to as the agency) as stipulated in this document.

One condition of this authorization is that the agency submit an annual Records Disposition Authority (RDA) Implementation Report on agency records management activities, including documentation of records destruction, to the State Records Commission in April of each year. In addition, the agency should make every effort to establish and maintain a quality record-keeping program through the following activities:

- The agency should designate a records liaison, who is responsible for: ensuring the development of quality record keeping systems that meet the business and legal needs of the agency, coordinating the transfer and destruction of records, ensuring that permanent records held on alternative storage media (such as microforms and digital imaging systems) are maintained in compliance with national and state standards, and ensuring the regular implementation of the agency’s approved RDA.
- Permanent records in the agency’s custody should be maintained under proper intellectual control and in an environment that will ensure their physical order and preservation.
- Destruction of temporary records, as authorized in this RDA, should occur agency-wide on a regular basis – for example, after the successful completion of an audit, at the end of an administration, or at the end of a fiscal year. Despite the RDA’s provisions, no record should be destroyed that is necessary to comply with requirements of the state Sunset Act, audit requirements, or any legal notice or subpoena.
- The board should maintain full documentation of any computerized record-keeping system it employs. It should develop procedures for: (1) backing up all permanent records held in electronic format; (2) storing a back-up copy off-site; and (3) migrating all permanent records when the system is upgraded or replaced. If the board chooses to maintain permanent records solely in electronic format, it is committed to funding any system upgrades and migration strategies necessary to ensure the records’ permanent preservation and accessibility.

The staff of the State Records Commission or the Examiners of Public Accounts may examine the condition of the permanent records maintained in the custody of the board and to inspect records destruction documentation. Government Records Division archivists are available to train the board staff in RDA implementation and otherwise assist the board in implementing its records management program.

The State Records Commission adopted this Records Disposition Authority on April 26, 2006.

Edwin C. Bridges, Chairman, by Tracey Berezansky
State Records Commission

Date

Receipt acknowledged:

Richard H. Dorrough, Commissioner
Alabama Department of Children's Affairs

Date